



California Emergency Management Agency
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION
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February 13, 2009

To: PROJECT DIRECTOR
Youth Emergency Telephone Referral Network (YT) Program

Subject: REQUEST FOR APPLICATION (RFA)

The California Emergency Management Agency (CalEMA), formerly known as the Governor's Office of Emergency Services, is pleased to announce the release of the Youth Emergency Telephone Referral Network (YT) Program Request for Application (RFA). This program is made available through the State General fund. The funding level for the YT Program for Fiscal Year (FY) 2009/2010 is anticipated to be \$114,000.

California Coalition for Youth is the only agency eligible to apply for continuation funding in FY 2009/2010 for the YT Program. The grant period will begin July 1, 2009 and end on June 30, 2010. Please note: continuation funding for FY 2009/2010 is contingent on passage of the State Budget Act, availability of funds, successful project performance, and compliance with the grant award agreement.

To continue to receive funding in FY 2009/2010, it is necessary to complete and return the enclosed application by **Friday, March 27, 2009**. Instructions for sending or hand delivering the application are included in the RFA.

Should you have questions, please contact Helen Alexander at (916) 322-2243 or by email at: Helen.alexander@oes.ca.gov.

Sincerely,

GILLSA HEREDIA MILLER, MSW
Chief, Children's Section
Law Enforcement and Victim Services Division

Enclosure

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**YOUTH EMERGENCY TELEPHONE REFERRAL NETWORK (YT) PROGRAM
REQUEST FOR APPLICATION**

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[http://www.CalEMA.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.CalEMA.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

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**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**YOUTH EMERGENCY TELEPHONE REFERRAL NETWORK (YT) PROGRAM
REQUEST FOR APPLICATION**

PART I – INFORMATION

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the California Emergency Management Agency (CalEMA) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible at www.CalEMA.ca.gov, by selecting “Criminal Justice Programs” section under the “Justice Programs” tab, “Grant Applications & Proposals,” then looking in the “Related Links” for “*Recipient Handbooks*.”

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the below contact person by telephone, fax, or e-mail.

Helen Alexander, Program Specialist
(916) 322-2243
(916) 324-8554 fax
helen.alexander@oes.ca.gov

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original and one copy of the application must be delivered to CalEMA’s Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by Friday, March 27, 2009**, to:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Youth Emergency Telephone Referral Network Program – Children’s Section

2. Hand delivered by **5:00 p.m. on Friday, March 27, 2009** to:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Youth Emergency Telephone Referral Network Program – Children’s Section

D. ELIGIBILITY

The Youth Emergency Telephone Referral Network (YT) Program must be administered by a California state agency or non-profit organization with the capacity to implement the objectives of Assembly Bill (AB) 3075 (Chapter 1614, Statutes of 1984).

For the purpose of this RFA, California Coalition for Youth is the only agency eligible to apply for the YT Program funding for Fiscal Year (FY) 2009/2010.

| | | | |
|--------------------------------|------------|--------------------|-----------|
| California Coalition for Youth | Sacramento | State General Fund | \$114,000 |
|--------------------------------|------------|--------------------|-----------|

E. FUNDS**1. Grant Award Period**

Funding for this application is for a twelve (12) month period. The grant period will begin on July 1, 2009 and end on June 30, 2010.

2. Funding Levels

Grant funding is contingent upon the FY 2009/2010 State Budget Act being passed by the Legislature and signed by the Governor. CalEMA does not have authority to disburse funds until the State budget is passed and the Grant Award Agreement is fully executed. Until such time, recipients must refrain from incurring expenditures. Expenditures incurred prior to authorization are made at the recipient's own risk. When the executed grant is received by recipient, authorized expenditure reports (CalEMA 201s) may be submitted for reimbursement of grant funds.

If during the term of the grant award the funds appropriated for the purpose of the grant award are reduced or eliminated by the California Legislature, CalEMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent funds are available for payment of such costs.

The FY 2009/2010 Governor's Proposed Budget is anticipated to contain \$114,000 in State General funds for the continuation funding of the YT Program. Specific funding amount for the recipient is provided above (D. Eligibility).

F. PROGRAM INFORMATION**1. History and Purpose**

The former Governor's Office of Emergency Services (OES) and the Legislature recognized there were many runaway and homeless youths living on the streets in California. Although there are many service agencies available throughout the state, it was difficult to let youth know of their existence and how to take advantage of the programs. Many of the youth are in need of basic life survival services such as food, shelter, clothing, health care, and counseling.

The Youth Emergency Telephone Referral Network Program was designed to help meet the problem of connecting youth in need of services with the appropriate service agency. The hotline has set up a non-threatening, toll-free number which can be accessed by youth anywhere in the state seeking assistance. The hotline has the capability to patch the caller directly into services located in the caller's area. These statewide youth services have been programmed into computers used by the hotline operator and can be referred to by locations or type of service needed. The hotline operator can stay on the line to assist the caller with the service provider and may terminate his/her participation once the hook-up between the caller and the service provider is completed.

Another important feature of the hotline is the capability to act as a message center for parents, guardians, and/or youth who wish to communicate with each other but do not want to speak directly.

2. Legislative Authority

AB 3075 (Chapter 1614 of the Statutes of 1984) legislatively established the Youth Emergency Telephone Referral Network Program (California Runaway Hotline) in the former Governor's Office of Criminal Justice Planning (OCJP); since OCJP was abolished on December 31, 2003, the legislative mandate is now the responsibility of California Emergency Management Agency (CalEMA).

3. Program Criteria

The project must be able to provide the services identified in AB 3075 (Chapter 1614 of the Statutes of 1984).

- The project shall service as a free non-threatening, telephone referral service for runaway youth directing them to available resources including shelter, meals, clothing, counseling, and other services necessary for their well-being, and to serve as a message center for the youth for parents and guardians wishing to communicate with them.
- The project shall be headquartered in Sacramento either in a facility owned or leased by the State.
- The referral service shall be publicized through print and electronic media including, but not limited to, utilization of television and radio announcements, posters, bumper stickers, and agreements, such as operational agreements, for the provision of publicity by private entities.

Government Code Section 11139.3 (e)

A "Homeless Youth" means either of the following:

- a) A person who is at least 18 years of age, but not older than 24 years of age, and meets one of the following conditions: (1) is homeless or at risk of becoming homeless; (2) is no longer eligible for foster care on the basis of age; (3) has run away from home.
- b) A person who is less than 18 years of age who is emancipated pursuant to Part 6 (commencing with Section 7000) of Division 1 of the Family Code and who is homeless or at risk of becoming homeless.

4. Administrative Authority

The (CalEMA) is now the administrative agency for the Youth Emergency Telephone Referral Network Program. The role of CalEMA is to develop, implement, and provide technical assistance to the program. These activities include establishing policies dealing with the operation and direction of the program and monitoring the funded project.

G. PREPARING AN APPLICATION

The Table of Contents includes a link to an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

Please provide the nine (9) required application components in the order listed below:

- Application Cover Sheet;
- Grant Award Face Sheet (CalEMA 2-101);
- Project Contact Information;
- Signature Authorization and Instructions;
- Certification of Assurance of Compliance - VOCA;
- Project Narrative;
- Budget Narrative and the Project Budget (CalEMA 2-106a-c);
- Project Service Information; and
- Application Appendix (refer to Part II, C.).

NOTE: Please pay special attention to the forms required. Failure to submit the correct forms will result in the application being returned.

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**YOUTH EMERGENCY TELEPHONE REFERRAL NETWORK (YT) PROGRAM
REQUEST FOR APPLICATION**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in “Forms” ([FORMS](#)) and plain 8½” x 11” white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to CalEMA standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the CalEMA pre-formatted pages.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind application.***

A. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

Please Note: A progress report must be submitted to the YT Program Specialist by the due date. Please see the most updated copy of the progress report found as *Attachment A*.

1. Problem Statement

Please update the problem statement to make it current to the latest issues and/or problems affecting this population. Please do not copy last year’s problem statement.

2. Plan and Implementation

Plan: Please update the plan and implementation section addressing how the plan and mandated objectives will be accomplished. Be sure to include current issues relating to the objectives.

Implementation: The ability to implement the plan was presented in the first year of funding. Unless updates are required, i.e., operational agreements with new agencies, changes in treatment modalities, and/or systems added/changed to enhance your program, this section may be deleted.

Objectives and Activities: For each objective, provide a quantified estimate of the services to be provided, discuss the manner in which those services will be provided, and the activities to be performed to support those services. The information provided for each objective must describe the source documentation collected and maintained to measure results and demonstrate proof of successful objective measurement (source documentation is defined as records used to validate project activities and achievements as pertaining to the objectives, e.g., intake logs, client files, progress notes, attendance rosters, sign-in sheets, etc.).

The mandated objectives for this grant are:

Objective A: Provide a 24-hour youth emergency telephone hotline accessible to youth in need.

Objective B: Provide referrals to youth who call the hotline to appropriate services to include shelter, meals, clothing, counseling, and other services necessary for their well-being.

Objective C: Provide telephone crisis counseling by trained volunteer or paid staff.

Objective D: Serve as a message center for runaway youth who wish to communicate with their parents or guardians.

B. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. The applicant may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, the applicant should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to CalEMA modifications and approval.

CalEMA requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. Failure of the applicant to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* for additional information concerning CalEMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Select any "Criminal Justice Programs" section under the "Justice Programs" Tab, select a section link and look in the "Related Links" for "*Recipient Handbooks*". Contact the person listed on page 1-subsection B of this RFA should you have additional budget questions.

| Recipient Name | Funding Source | Amount |
|--------------------------------|--------------------|-----------|
| California Coalition for Youth | State General Fund | \$114,000 |

1. Budget Narrative

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe:

- How the applicant's proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.

- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

2. **Specific Budget Categories**

There is an Excel Workbook in “Forms” ([FORMS](#)) with spreadsheets for each of the following three budget categories:

- Personal Services – Employee Salaries/Benefits;
- Operating Expenses; and
- Equipment.

The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and match in the correct column of the Budget Category form. The spreadsheet will add each addition. You may add extra rows if necessary, the spreadsheets total at the end of each budget category and total the three spreadsheets at the bottom of the last page (Equipment). The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. **Personal Services – Salaries/Employee Benefits (CalEMA 2-106a):**

1) **Salaries**

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. These may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operational Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (CalEMA 2-106b):

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during an CalEMA site visit, monitoring visit, or audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses category.

c. Equipment (CalEMA 2-106c):

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

C. **APPLICATION APPENDIX**

The Application Appendix provides CalEMA with additional information from the applicant to support components of the application. The following must be included:

- Operational Agreements: *OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period.* This document must demonstrate a formal system of networking and coordination with other agencies and the recipient. A sample OA is provided in “Forms” ([FORMS](#)).
- Operational Agreements Summary Sheet
- Project Summary
- Noncompetitive Bid Request
- Out of State Travel Request, CalEMA 2-700 - if applicable
- Emergency Fund Procedures - if applicable
- Other Funding Sources
- Prior, Current, and Proposed CalEMA Funding
- Project Service Area Information
- Computer and Automated Systems Purchase Justification Guidelines - if applicable

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION
CRIMINAL JUSTICE PROGRAMS**

**YOUTH EMERGENCY TELEPHONE REFERRAL NETWORK (YT) PROGRAM
REQUEST FOR APPLICATION**

PART III – ADDITIONAL INFORMATION

The applicant is strongly encouraged to review the following sections in preparing the application.

- A. Finalizing the Grant Award Agreement
- B. Administrative Requirements
- C. Budget Policy
- D. Glossary of Terms

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. CalEMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, CalEMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

CalEMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

CalEMA may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by CalEMA.

b. Grant Award Agreements

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The recipient is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received.

c. Grant Award Amounts

When the amount of funds available is limited, CalEMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, CalEMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, CalEMA will notify the applicant prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

The Recipient Handbook (RH)

The *Recipient Handbook* is accessible on the CalEMA Internet website at www.oes.ca.gov. Select “Justice Programs”, “Grant Applications & Proposals (RFAs/RFPs)” and “*Recipient Handbooks*.” The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

The information below may be cross referenced with the *Recipient Handbook* (RH) by referencing the handbook section number.

1. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the terms of the program.

2. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, CalEMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

3. Monthly/Quarterly Report of Expenditures and Request for Funds (CalEMA 201) (RH 6300)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (CalEMA 2-201) (formerly OES 201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form CalEMA 2-201 will result in the withholding of funds and may result in the recommendation to CalEMA's Executive Director for termination of the grant award.

4. Technical Assistance/Site Visits (RH 10300)

Funded projects are assigned a CalEMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

5. **Monitoring (RH 10400)**

A monitoring visit is an onsite assessment by CalEMA staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

6. **Bonding Requirements (RH 2160)**

Private community-based organizations (CBO) and American Indian organizations are required to obtain and send to CalEMA a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of CalEMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, California Emergency Management Agency" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

7. **Audit Requirements (RH 8100)**

Recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the *RH* Section 2234.

8. **Copyrights, Rights in Data, and Patents (RH 5300-5400)**

CalEMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

9. **Source Documentation (RH 10111)**

Recipients are required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the terms of the program. Recipients will be required to have written job descriptions on file for positions funded by CalEMA detailing specific grant-related activities to achieve project objectives.

C. **BUDGET POLICY**

This document summarizes information on CalEMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.oes.ca.gov, selecting “Justice Programs”, “Grant Applications & Proposals (RFAs/RFPs)” and “*Recipient Handbooks*.”

1. **Supplanting Prohibited (RH 1330)**

Grant funds must be used to supplement existing funds for program activities and **not replace** funds appropriated for the same purpose. A written certification must be provided to CalEMA indicating the grant funds will not be used to supplant existing funds. Supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. **Project Income (RH 6610)**

Project income such as client fees and fees for services provided by the project (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds unless otherwise specified in the RFA instructions.

3. **Methods of Contracting and/or Procurement (RH 3400)**

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by CalEMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000, which requires prior CalEMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. CalEMA will provide assistance in submitting a noncompetitive bid request if CalEMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. **Match Requirements (RH 6500)**

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match specified in the budget will become part of the grant award. (Specific instructions for calculating the match are provided in Sections 6550 – 6550.2 of the *Recipient Handbook*.)

5. **Travel Policies**

The following is CalEMA's current travel policy:

a. **Travel and Per Diem (RH 2236)**

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBO)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel (*RH 2236.11*)

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for CalEMA approval.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of .55 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m.

Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

Total is \$40.00 for a 24-hour period.

4) Lodging

The maximum allowed lodging rate is \$84.00, plus applicable taxes (except as noted below). Lodging receipts are required for reimbursement.

5) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

6) Other

Taxi, airport shuttle, etc. which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. **Participating Staff**

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the operating expenses category of the grant budgets.

7. **Independent Contractor / Consultant(RH 3710)**

Consultant services are provided on a contractual basis by individuals or organizations not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or,
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. **Rates (RH 3710.1)**

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation over \$250 per hour requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government can not provide services without this cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. **Expert Witness Fees (RH 3710.2)**

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT), Medical Doctor (MD)];
- rate of pay per hour, including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if the expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation);
- justification for why this cost cannot be paid with county funds (attach the justification to CalEMA 2-106 a-c) (formerly OES A303b).

8. Facility Rental (RH 2232)

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

a. Rental Space for Training and Counseling Rooms

Rental space for training and individual and/or group counseling rooms may also be charged to the grant providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis is required when equipment rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by CalEMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (RH 2220)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of the total direct project costs (excluding equipment) may be budgeted by the applicant for indirect costs if allowable by the funding source.

11. Audits (RH 8150)

CalEMA projects expending \$25,000 or more of CalEMA grant awards are required to complete and audit. The project may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- if the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

12. **Equipment (RH 2300)**

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment may be budgeted if it is essential to the implementation of the project and to be used solely for project activities. Grant funds may not be used to reimburse the project for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness. Prior approval by CalEMA is required.

b. Computers and Automated Equipment (RH 2340)

1) Community-Based Organization (RH 2342.1)

Community-based organization may budget up to \$25,000 in computer equipment, software, and related costs. CalEMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by CalEMA is required. The Recipient will be sent instructions for preparing the justification.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. CalEMA will evaluate the proposed purchase on the basis of grant-related need. CalEMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required. The Recipient will be sent instructions for preparing the justification.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. The Recipient will be sent instructions for preparing the justification.

c. Automobiles (RH 2331)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of the service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by CalEMA's program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (RH 2240)

a. Bonuses and Commissions (RH 2241)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (RH 2242)

Refer to RH 2242.1 for an extensive list of prohibited activities.

c. Fundraising (RH 2243)

CalEMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (RH 2244)

Real property including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

e. Interest, Charges, Fee and Penalties (RH 2245)

1) Interest

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

2) Charges, Fees, and Penalties

Charges, Fees and Penalties Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

f. Food and Beverages (RH 2246)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

g. Weapons and Ammunition (RH 2247)

The cost of weapons and/or ammunition of any type are not an allowable expenditures unless they are part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

h. Membership Dues (RH 2248)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

i. Professional License (RH 2248)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

j. Annual Professional Dues or Fees (RH 2248)

The cost of professional dues or fees are not allowable expenditures unless it is part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

k. Charges, Fees and Penalties (RH 2245)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

l. Depreciation (RH 2249)

Equipment costs may not include additional costs calculated for depreciation.

GLOSSARY OF TERMS

| TERM | DEFINITION |
|--|---|
| Activity | The specific steps or actions that a project takes to achieve a measurable objective. |
| Administrative Agency or Recipient | The agency or organization designated on the Grant Award Face Sheet who is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau). The Recipient was formerly referred to as the “Grantee”. |
| Application | Once selected for funding, the original proposal plus any additional forms as required by CalEMA becomes the application. This application, once signed by CalEMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement. |
| CFR | Code of Federal Regulations |
| Community-based Organization (CBO) | A nonprofit, public benefit corporation. |
| Competitive Bid | A contract process used when all suppliers are equally or nearly equally qualified to provide the services. |
| Equal Employment Opportunity Plan (EEOP) | A comprehensive plan that analyzes the agency’s workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. |
| EEOP Guidelines | Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist Recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law. |
| Grant Award Agreement | The signed final agreement between CalEMA and the local government agency or organization authorized to accept grant funding. (See Application.) |
| Grant Funding Cycle | The number of years a program may be funded without competition. A funding cycle is typically three years. |
| Grant Funding Period | The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (CalEMA 2-101) (formerly OES A301). |

| TERM | DEFINITION |
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| Implementing Agency | The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff). |
| Monitoring Report Response Form | Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the CalEMA Local Assistance Monitoring Branch (LAMB) indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring. |
| Noncompetitive Bid (NB) | A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.) |
| Nonprofit Organization (aka Community Based Organization) | <p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501 (c) (3) for recipients of Faith-based Organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <ol style="list-style-type: none"> (1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501 (c) (3). (2) A statement from a State taxing body or the State secretary of state certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual: (3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or (4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate. |
| Objectives | A set of quantifiable projections to be carried out in order to accomplish the program goals. |
| On Site | Refers to the location of operation of the grant award recipient. If multiple sites exist, the site that provides the project recipients with program direction qualifies as the "on site location." |

| TERM | DEFINITION |
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| Operational Agreement (OA) | A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles, but which serve the same purpose. |
| Participating Agency | An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization. |
| Participating Staff | A salaried employee of a Participating Agency |
| Program | A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources. |
| Project | The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation. |
| Proposal | The packet of forms and narrative as requested by the RFP and submitted to CalEMA that specified the priorities, strategies, and objectives of the applicant. |
| Recipient Handbook | This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible in the "Related Links" section of the internet website at www.oes.ca.gov under "Justice Programs", "Grant Applications & Proposals (RFAs/RFPs)" and " <i>Recipient Handbooks</i> ." The <i>Recipient Handbook</i> was previously called the " <i>Grantee Handbook</i> ". |
| Request for Application (RFA) | The RFA is a noncompetitive process issued by CalEMA to obtain applications from applicants previously selected for funding. |
| Request for Proposal (RFP) | The Request for Proposal is issued by CalEMA to solicit competitive proposals in order to select projects for funding. |
| Single Source | This term has been replaced by the term "noncompetitive bid". |
| Sole Source | This term has been replaced by the term "noncompetitive bid". |
| Source Documentation | Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. |

| TERM | DEFINITION |
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| Supplanting | To reduce federal, state, or local funds because of the existence of CalEMA funds. Supplanting occurs when a Recipient deliberately replaces its non-CalEMA funds with CalEMA funds, thereby reducing the total amount available for the stated purpose. |
| Terms of the Program | The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, CalEMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook. |
| USC | United States Code |